514 Rec'd PCT/PTO 2 3 MAR 2000

Form PTO 1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV 5-93)		ATTOKNEY'S DOCKET NUMBER B45110				
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED / ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 09/509239				
INTERNATIONAL APPLICATION NO.		PRIORITY DATE CLAIMED				
PCT/EP98/06040	17 September 1998	26 September 1997				
TITLE OF INVENTION FUSION PROTEINS COMPRISING HIV-1 TAT AND/OR NEF PROTEINS						
APPLICANT(S) FOR DO/EO/US Claudine BRUCK, Stephane Andre Georges GODART and Martine MARC-HAND						
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:						
<ol> <li>[x] This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</li> <li>[] This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</li> <li>[x] This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>[x] A proper Demand for International Preliminary Examination was made by the 19th month from the</li> </ol>						
earliest claimed priority date.  5. [x] A copy of the International Application as filed (35 U.S.C. 371(c)(2))  a. [] is transmitted herewith (required only if not transmitted by the International Bureau).  b. [x] has been transmitted by the International Bureau.  c. [] is not required, as the application was filed in the United States Receiving Office (RO/US).						
6. [] A translation of the International Application into English (35 U.S.C. 371(c)(2)).						
<ul> <li>7. [x] Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</li> <li>a. [] are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. [x] have been transmitted by the International Bureau.</li> <li>c. [] have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. [] have not been made and will not be made.</li> </ul>						
8. [] A translation of the amendments to the claims under PCT Article 19 (35 U.S. C. 371(c)(3)).						
9. [x] An oath or declaration of th	e inventor(s) (35 U.S.C. 371(c)(4)).					
10. [] A translation of the annexes (35 U.S.C. 371(c)(5)).	s to the International Preliminary Ex	amination Report under PCT Article 36				
Items 11. to 16. below concern other document(s) or information included:						
11. [x] An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.						
12. [x] An assignment document for 3.28 and 3.31 is included.		in compliance with 37 C.F.R.				
13. [x] A FIRST preliminary amen [] A SECOND or SUBSEQUI	dment. ENT preliminary amendment.					

- [X] Please amend the specification by inserting before the first line the sentence: This is a 371 of International Application PCT/EP98/06040, filed 17 September 1998, which claims benefit from the following Provisional Application, GB 9720585.0 filed 26 September 1997.
- 14. [] A substitute specification.
- 15. [] A change of power of attorney and/or address letter.
- 16. [ ] Other items or information:

			416 Rec'd PCT/	23 MAF	2 2000
	CATION NO. (if know 27 CFR 1.50) INTERNATIONAL APPLICATION PCT/EP98/06040		ATTORNEYS DOCKET NO. B45110		
17. [X] The following fees are submitted:				CALCULATIONS	PTO USE ONLY
Basic National Fee (37 C.F.R. 1.492(a)(1)-(5)):					
Search Report has been prepared by the EPO or JPO\$840.00					
International Preliminary Examination Fee paid to USPTO (37 CFR 1.482)					
No International Preliminary Examination Fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))					
Neither International Preliminary Examination Fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO\$970.00					
International Preliminary Examination Fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)\$96.00					
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$840.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0.00	
Claims	Number Filed	Number Extra	Rate		
Total claims	46 - 20 =	26	26 x \$18.00	\$468.00	
Independent claims	4 - 3 =	1	1 x \$78.00	\$78.00	
Multiple dependent claims (if applicable) + \$260.00				\$260.00	
TOTAL OF ABOVE CALCULATIONS =				\$806.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$1646.00	
Processing fee of \$130.00 for furnishing the English translation later than  20 30 months from the earliest claimed priority date (37 CFR 1.492(f)) +				\$	
TOTAL NATIONAL FEE =				\$1646.00	
				Amount to be refunded	\$
				charged	\$

- A check in the amount of \$\sqrt{} to cover the above fees is enclosed.
- b. Please charge my Deposit Account No. 19-2570 in the amount of \$1646.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
- d. General Authorization to charge any and all fees under 37 CFR 1.16 or 1.17, including petitions for extension of time relating to this application (37 CFR 1.136 (a)(3)).

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SMITHKLINE BEECHAM CORPORATION

Corporate Intellectual Property - UW2220

P.O. Box 1539

King of Prussia, PA 19406-0939

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SIGNATURE

Zoltan Kerekes

NAME

38,938

REGISTRATION NO.

## TRANSMITTAL LETTER TO THE U.S. DESIGNATED OFFICE (DO/US) - ENTRY INTO NATIONAL STAGE UNDER 35 USC 371

INTERNATIONAL APP. NO.

INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED

PCT/EP98/06040

17 September 1998

26 September 1997

TITLE OF INVENTION

FUSION PROTEINS COMPRISING HIV-1 TAT AND/OR NEF PROTEINS

APPLICANT(S) FOR DO/US

Claudine BRUCK, Stephane Andre Georges GODART and Martine MARC-HAND

**Box PCT** 

**Assistant Commissioner for Patents** 

Washington, D.C. 20231

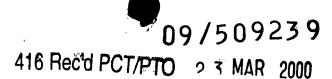
ATTENTION: DO/US

## **CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that this Transmittal Letter, Form PTO 1390 and the papers indicated as being transmitted therewith, and Post Card are being deposited with the United States Postal Service on this date March 23, 2000 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL229502579US addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

(Typed or printed name of person mailing paper)

(Signature of person mailing paper)



Attorney Docket No. B45110

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TITLE OF INVENTION

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APPLICANT(S) FOR DO/US

Claudine BRUCK, Stephane Andre Georges GODART and Martine MARC-HAND

## FILING OF AN INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R.§1.97(b)

The attached list of citations on PTO Form 1449 is being submitted under the provisions of 37 CFR §1.56 and §1.97 in order to comply with the duty of disclosure. Their inclusion herein should not, however, be construed as an admission that any particular cited reference is effective prior art or that it discloses or renders obvious any aspect of the claimed invention. A copy of each cited reference is enclosed, except for those references which are already part of the filewrapper. This statement is being filed within the time period specified in 37 CFR §1.97(b). No fee is required.

Respectfully submitted,

Zoltan Kerekes

Attorney for Applicants

Registration No. 38,938

SMITHKLINE BEECHAM CORPORATION Corporate Intellectual Property - UW2220

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